

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	Srivastava et al.
	FILING DATE	ART UNIT June 4, 2001 1643

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
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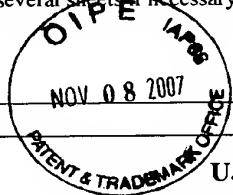
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B02	GB 2 251 186A	7/1/92	United Kingdom		
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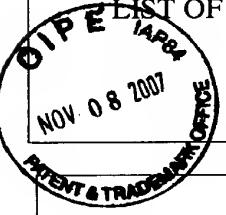
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Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity." <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIJKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

EXAMINER	DATE CONSIDERED
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11-13-07

1643 IFW

Express Mail No.: ED 608 969 344 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Srivastava *et al.*

Confirmation No.: 1802

Application No.: 09/873,403

Art Unit: 1643

Filed: June 4, 2001

Examiner: Christopher H. Yaen

For: COMPLEXES OF ALPHA (2)  
MACROGLOBULIN AND ANTIGENIC  
MOLECULES FOR IMMUNOTHERAPYAttorney Docket No: 8449-178-999  
(CAM No: 708584-999177)**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.56 AND § 1.97****MAIL STOP RCE**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**COPY**

Sir:

In accordance with the continuing duty of disclosure imposed by 37 C.F.R. § 1.56 and § 1.97 to inform the United States Patent and Trademark Office (“USPTO”) of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of any claim of the application, Attorneys for Applicant hereby invite the Examiner’s attention to references **A01-A56, B01-B50, and C08 to C283** listed on the attached form entitled “List of References Cited by Applicant.”

Copies of references **A01, B01-B50** and **C08-C283** are enclosed herewith. Copies of references **A02-A56** are not submitted herewith because they are U.S. patents or U.S. patent application publications. Pursuant to 37 C.F.R. § 1.98 (a)(2)(i) as amended (*see* Fed. Reg. vol. 69, no. 182, Sept. 21, 2004), the requirement for providing a copy of each U.S. patent or U.S. patent application publication listed in an Information Disclosure Statement in a patent application, regardless of the filing date of the application, is eliminated.

Identification of the listed references is not meant to be construed as an admission of Applicants or Attorneys for Applicants that such references are available as “prior art” against the subject application.

Pursuant to 37 C.F.R. § 1.98(a)(3)(i), a concise explanation of the relevance of non-English documents (references B01 and B47) is provided herewith. The relevance of reference B01, German Patent DE 19602985, can be explained by the English translation of

the abstract: Tumor vaccine, for immune therapy of tumors, comprises tumor cells which also contain a gene for an exogenous heat shock protein. The relevance of reference B47, PCT Application No. WO 97/26910, can be explained by the English translation of the abstract:

The invention concerns a tumor vaccine in which the immunogenicity of tumor cells, tumor associated antigens or antigen partial structures are reinforced through genetic modification or through chemical bonding to an exogenous thermal shock protein. The use of microbial thermal shock proteins or their genes is preferred which are derived from mycobacteria, Escherichia coli or from Chlamydia trachomatis.

While not to be construed as indicating that the Examiner should not review and consider fully all the listed references, Attorneys for Applicant particularly direct the Examiner's attention to references A05, A08, A11, C177-C181, and C184-C186.

Applicants respectfully request that the Examiner review the foregoing references and that the references be made of record in the file history of the application.

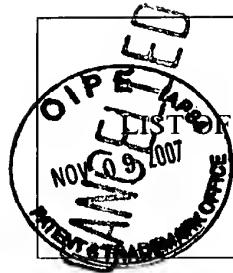
Pursuant to 37 C.F.R. § 1.97 (b)(4), Applicants believe that no fee is due in connection with the filing of this Supplemental Information Disclosure Statement. However, if the Patent Office determines otherwise, the Commissioner is authorized to charge any required fees to Jones Day deposit account no. 50-3013.

Respectfully submitted,

Date: November 8, 2007

  
Adriane M. Antler 32,605  
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New York, New York 10017  
Phone: (212) 326-3939

**COPY**



**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
APPLICANT Srivastava et al.	
FILING DATE June 4, 2001	ART UNIT 1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
A01	09/393,652	9/10/99	Srivastava	
A02	2001-0034042	10/01	Srivastava	
A03	2002-0001841	1/03/02	Kaltoft et al.	
A04	2002-0028207	6/4/01	Srivastava	
A05	2002-0037290	03/28/02	Armen	
A06	2002-0172682	11/21/02	Srivastava	
A07	2002-0192230	12/19/02	Srivastava	
A08	2003-0129296	07/10/03	Srivastava	
A09	2003-0211971	11/13/03	Srivastava	
A10	2004-0022796	02/05/04	Srivastava	
A11	2004-0253228	12/16/04	Srivastava	
A12	2006-0165710	07/26/06	Srivastava	
A13	4,690,915	9/1/87	Rosenberg	
A14	5,112,298	5/12/1992	Prince et al.	
A15	5,188,964	2/23/93	McGuire et al.	
A16	5,232,833	8/3/93	Sanders et al.	
A17	5,273,965	12/28/93	Kensil et al.	
A18	5,348,945	9/20/94	Berberian et al.	
A19	5,554,293	9/10/1996	Uhoch	
A20	5,580,859	12/3/96	Felgner et al.	
A21	5,637,082	6/10/1997	Pages et al.	
A22	5,652,115	7/29/97	Marks et al.	
A23	5,736,146	4/7/98	Cohen	
A24	5,747,332	5/5/98	Wallen et al	
A25	5,750,119	05/12/98	Srivastava	
A26	5,830,464	11/03/98	Srivastava et al.	
A27	5,846,928	12/8/1998	Kishida	
A28	5,869,058	2/9/99	Cohen	
A29	5,891,653	4/6/99	Attfield	
A30	5,910,306	06/99	Alving et al.	

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A31	5,947,646	07/19/99	Srivastava et al.	
A32	5,968,526	10/19/99	Garman et al.	
A33	5,997,873	12/7/99	Srivastava et al.	
A34	6,007,821	12/28/99	Srivastava et al.	
A35	6,027,731	2/22/2000	Pauza	
A36	6,030,618	02/29/00	Srivastava	
A37	6,033,561	3/7/2000	Schoendorfer	
A38	6,048,530	4/11/00	Srivastava	
A39	6,136,315	10/24/00	Srivastava	
A40	6,156,311	12/05/00	Strickland et al.	
A41	6,162,436	12/19/00	Srivastava	
A42	6,168,793	1/2/01	Srivastava et al.	
A43	6,312,711	11/6/01	Duchateau et al.	
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A48	6,689,363	02/10/04	Sette et al.	
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A54	7,176,515	03/06/07	Srivastava et al.	
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B02	GB 2 251 186A	7/1/92	United Kingdom		
B03	WO 00/03003	1/20/00	University of Nottingham		
B04	WO 00/10597	03/02/00	Immunology Limited		
B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
B06	WO 00/38760	7/6/2000	Occulogix Corp		
B07	WO 00/46246	8/10/00	The General Hospital Corp.		
B08	WO 00/54801	9/21/2000	Entremed Inc		
B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
B12	WO 02/11669	02/14/02	Antigenics, LLC		
B13	WO 02/15930	2/28/02	Duke University		
B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
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B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

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B31	WO 93/17712	9/16/93	Biocene Sclavo Spa Rappuoli	
B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale	
B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale	
B34	WO 93/18150	9/16/93	Biocene S.P.A.	
B35	WO 93/21529	10/28/93	Duke University	
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B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd	
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B39	WO 94/11513	5/26/94	Medical Research Council Colston	
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B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research	
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B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research	
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B46	WO 97/10001	03/20/97	Fordham University	
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B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.	
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C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," Infect. Immun. 62(6):2536-44	
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C20	BASOMBRÍO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
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C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins , which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

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C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
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C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody." Hybridoma 7:407-415	
C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." Natl. Cancer Inst. 44:1281-1288	
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C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
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C55	ELLGAARD ET AL., 1997,"Dissection of the domain architecture of the alpha2macrglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
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C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
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